



## IAPD Report

# DWIGHT ALLEN HEIKKILA

CRD# 715277

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### DWIGHT ALLEN HEIKKILA (CRD# 715277)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/22/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	ONEAMERICA SECURITIES, INC.	CRD# 4173	02/11/2014
<b>IA</b>	ONEAMERICA SECURITIES, INC.	CRD# 4173	02/12/2014

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	FIRST ALLIED ADVISORY SERVICES, INC.	137888	CHESTERFIELD, MO	10/25/2012 - 02/13/2014
<b>B</b>	FIRST ALLIED SECURITIES, INC.	32444	LOS ANGELES, CA	10/24/2012 - 02/05/2014
<b>IA</b>	OGILVIE SECURITY ADVISORS CORP	10105	LOS ANGELES, CA	11/15/2007 - 10/24/2012

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ONEAMERICA SECURITIES, INC.**  
Main Address: ONE AMERICAN SQUARE  
INDIANAPOLIS, IN 46282  
Firm ID#: 4173

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	02/11/2014
B	FINRA	General Securities Principal	Approved	02/11/2014
B	FINRA	General Securities Representative	Approved	02/11/2014
B	FINRA	Municipal Securities Principal	Approved	02/11/2014
B	FINRA	Municipal Securities Representative	Approved	02/11/2014
B	California	Agent	Approved	02/11/2014
IA	California	Investment Adviser Representative	Approved	02/12/2014
B	Colorado	Agent	Approved	02/24/2014
B	Connecticut	Agent	Approved	02/25/2014
IA	Connecticut	Investment Adviser Representative	Approved	01/21/2025
B	Hawaii	Agent	Approved	07/25/2024
IA	Hawaii	Investment Adviser Representative	Approved	09/18/2024
B	Maryland	Agent	Approved	02/24/2014



## Qualifications

	Regulator	Registration	Status	Date
<b>B</b>	New York	Agent	Approved	02/24/2014
<b>IA</b>	New York	Investment Adviser Representative	Approved	08/13/2021

### Branch Office Locations

**ONEAMERICA SECURITIES, INC.**  
New Haven, CT





## Qualifications

### PASSED INDUSTRY EXAMS






This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	10/14/2002
	General Securities Principal Examination (S24)	Series 24	06/10/1998

#### General Industry/Product Exams

	Exam	Category	Date
	Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/15/1986
	Registered Representative Examination (S1)	Series 1	09/08/1980

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/27/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/1995



## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/25/2012 - 02/13/2014	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	CHESTERFIELD, MO
B	10/24/2012 - 02/05/2014	FIRST ALLIED SECURITIES, INC.	CRD# 32444	LOS ANGELES, CA
IA	11/15/2007 - 10/24/2012	OGILVIE SECURITY ADVISORS CORP	CRD# 10105	LOS ANGELES, CA
B	11/09/2007 - 10/24/2012	OGILVIE SECURITY ADVISORS CORPORATION	CRD# 10105	LOS ANGELES, CA
IA	09/21/2000 - 09/24/2007	AXA ADVISORS, LLC	CRD# 6627	LOS ANGELES, CA
B	02/28/2000 - 09/24/2007	AXA ADVISORS, LLC	CRD# 6627	LOS ANGELES, CA
B	05/06/1998 - 02/18/2000	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	09/26/1995 - 04/15/1998	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	03/20/1991 - 09/14/1995	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	03/20/1991 - 12/10/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ
B	10/20/1980 - 04/05/1991	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	09/23/1980 - 04/05/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2014 - Present	ONEAMERICA SECURITIES	REGISTERED REP	Y	New Haven, CT, United States
01/2014 - Present	AMERICAN UNITED LIFE	AGENT	Y	New Haven, CT, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Non-variable insurance sales (fixed life, fixed annuities, health)\*\*Board Member: Meals on Wheels of West Los Angeles



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
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Termination	1
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### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

**Reporting Source:** Firm

**Firm Name:** AXA ADVISORS

**Termination Type:** Permitted to Resign

**Termination Date:** 09/14/2007

**Allegations:** PERMITTED TO RESIGN FOR VIOLATION OF COMPANY POLICIES AND REGULATORY RULES BY ENGAGING IN AN UNDISCLOSED OUTSIDE BUSINESS ACTIVITY WITH A THIRD PARTY AND SUBMITTING MULTIPLE UNIVERSAL LIFE INSURANCE POLICIES CONTAINING MATERIAL MISREPRESENTATIONS.

**Product Type:** Insurance

**Other Product Types:**

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**Reporting Source:** Individual

**Firm Name:** AXA ADVISORS LLC

**Termination Type:** Permitted to Resign

**Termination Date:** 09/14/2007

**Allegations:** PERMITTED TO RESIGN FOR ALLEGED VIOLATIONS OF COMPANY POLICIES AND REGULATORY RULES BY ENGAGING IN AN UNDISCLOSED OUTSIDE BUSINESS ACTIVITY WITH A THIRD PARTY AND SUBMITTING MULTIPLE UNIVERSAL LIFE INSURANCE POLICIES CONTAINING MATERIAL MISREPRESENTATIONS.

**Product Type:** Insurance

**Other Product Types:**



**Broker Statement**

AT NO TIME DURING MY ASSOCIATION WITH AXA DID I ENGAGE IN ANY UNAPPROVED OUTSIDE BUSINESS ACTIVITY. ALL OF MY BUSINESS ACTIVITIES WERE DISCLOSED TO, AND APPROVED BY, AXA.

AXA'S CLAIM THAT I ENGAGED IN "FRAUD OR WRONGFUL TAKING OF PROPERTY" BY "SUBMITTING MULTIPLE UNIVERSAL LIFE INSURANCE POLICIES CONTAINING MATERIAL MISREPRESENTATIONS" IS PATENTLY FALSE AND DISINGENUOUS. DURING MY ASSOCIATION WITH AXA, I WAS NEVER ACCUSED OF FRAUD OR WRONGFUL TAKING OF PROPERTY. ADDITIONALLY, THERE WAS ONLY ONE QUESTION ON ONE LIFE INSURANCE APPLICATION THAT AXA OBJECTED TO BECAUSE THEY ERRONEOUSLY BELIEVED I SHOULD HAVE CHECKED THE "YES" BOX, INSTEAD OF THE "NO" BOX. AXA'S OBJECTION WAS BASED ON THE INACCURATE ASSUMPTION THAT THE APPLICANT INTENDED TO TRANSACT A LIFE SETTLEMENT WHEN, IN FACT, THIS WAS NOT THE CASE. CONSEQUENTLY, MY ANSWER WAS, IN FACT, CORRECT AND NO APPLICATIONS TO MY KNOWLEDGE WERE EVER SUBMITTED THAT CONTAINED ANY INACCURACIES OR MISREPRESENTATIONS.



## End of Report

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